

USPTO

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02/12/2007 10:13 212-318-3400 FULBRIGHT JAWORSKI PAGE 03/28

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**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/OBJECTED OFFICE (DO/OO/US)
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371**

INTERNATIONAL APPLICATION NO. PCT/DE2004/000802 INTERNATIONAL FILING DATE March 1, 2004 FILING OFFICE, CLASSIFICATION

NAME OF INVENTION SUBSTITUTED COMPOUNDS COMPRISING HETEROGENEOUS FILTS AND METHOD FOR APPLICATION OF THE FILT TO THE SUBSTRATE

APPLICANT(S) FOR DO/OO/US Hoffmann, H. G.

Applicant hereby certifies to the United States Patent and Trademark Office (USPTO) the following facts and other information:

- ☐ This is a FIRST submission of this document to the USPTO.
- ☒ This is a SECOND or SUBSEQUENT submission of this document to the USPTO under 35 U.S.C. 371.
- ☐ This is an application intended to begin national examination proceedings (35 U.S.C. 371(a)). The submission must include items (b), (c), (d), and (e) indicated below.
- ☐ The USPTO has been selected (Article 31).
- ☐ A copy of the international application as filed (PCT/IS: 371 (a)(2))
 - in electronic form (as required only if not previously submitted by the International Bureau);
 - has been communicated by the International Bureau;
 - is not required, as the application was filed in the United States (Article 371 (a)(2)).
- ☒ An English language translation of the international application as filed (35 U.S.C. 371 (a)(2)).
 - is attached hereto;
 - has been previously submitted under 35 U.S.C. 371 (a)(2);
- ☐ Amendments to the claims of the international application under PCT Article 12 (35 U.S.C. 371 (a)(3))
 - are attached hereto (required only if not communicated by the International Bureau);
 - have been communicated by the International Bureau;
 - have not been made; however, the filing of the amendments has NOT expired;
 - have not been made and will not be made.
- ☐ An English language translation of the amendments to the claims under PCT Article 12 (35 U.S.C. 371 (a)(3)).
- ☐ An English language translation of the amendments to the claims to the International Preliminary Examination Report under PCT Article 10 (35 U.S.C. 371 (a)(3)).

Items 11 to 20 below represent requirement(s) or information included:

- ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
- ☐ An information disclosure statement for prior art. A separate cover sheet in accordance with 37 CFR 1.97 and 1.98 is included.
- ☒ A preliminary amendment.
- ☐ An Application Data Sheet under 37 CFR 1.70.
- ☐ A statement of inventorship.
- ☐ A power of attorney and/or change of address letter.
- ☐ A computer-readable form of the application as filed in accordance with 37 CFR 1.97 and 1.98.
- ☐ A second copy of the published international application under 35 U.S.C. 371 (a)(4).
- ☐ A second copy of the English language translation of the international application under 35 U.S.C. 371 (a)(2).
- ☒ Other items of information. Power of Attorney in separate Application under the USPTO Manual Under 37 CFR 1.70(b) Final Drawings.

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JOB STATUS REPORT

TIME : 02/12/2007 10:42
 NAME : FULBRIGHT JAWORSKI
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 TEL# : 212-318-3250
 SER.# : BR03J2515287

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PTO-1380 (Rev. 12-2004)
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TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371		ATTORNEY'S DOCKET NUMBER NY-AFILM-204-US
INTERNATIONAL APPLICATION NO. PCT/DE2004/000392	INTERNATIONAL FILING DATE March 1, 2004	U.S. APPLICATION NO. (If known, see 37 CFR 1.5) 10/591,156
TITLE OF INVENTION SUBSTRATE COMPRISING FABRY-PEROT FILTER AND METHOD FOR APPLICATION OF THE FILTER TO THE SUBSTRATE		
APPLICANT(S) FOR DO/EO/US Hoffmann, et al.		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
1. <input type="checkbox"/> This is a FIRST submission of items concerning a submission under 35 U.S.C. 371.		
2. <input checked="" type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a submission under 35 U.S.C. 371.		
3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371 (f)). The submission must include items (5), (6), (9) and (21) indicated below.		
4. <input type="checkbox"/> The US has been elected (Article 31).		
5. <input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371 (c)(2))		
a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).		
b. <input type="checkbox"/> has been communicated by the International Bureau.		
c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).		
6. <input checked="" type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371 (c)(2)).		
a. <input checked="" type="checkbox"/> is attached hereto.		
b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).		
7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))		
a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).		
b. <input type="checkbox"/> have been communicated by the International Bureau.		
c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.		
d. <input type="checkbox"/> have not been made and will not be made.		



UNITED STATES PATENT AND TRADEMARK OFFICE

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U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
10/591,156	Hoffmann	NY-AFILM-204-US

INTERNATIONAL APPLICATION NO.

PCT/DE04/00392

LA. FILING DATE

PRIORITY DATE

03/01/2004

24972

FULBRIGHT & JAWORSKI, LLP
666 FIFTH AVE
NEW YORK, NY 10103-3198

CONFIRMATION NO. 6189

371 FORMALITIES LETTER



OC00000023632259

Date Mailed: 05/02/2007

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Copy of the International Application filed on 08/30/2006
- Copy of the International Search Report filed on 08/30/2006
- Preliminary Amendments filed on 08/30/2006
- Information Disclosure Statements filed on 08/30/2006
- Request for Immediate Examination filed on 08/30/2006
- U.S. Basic National Fees filed on 08/30/2006

APPLICANT: FULBRIGHT & JAWORSKI, LLP
ATTORNEY: []
DOCKETED: [] NOT DOCKETED: [] CONFIRMATION: []
INITIALS: [] DATE: []

MAY 07 2007

Attorney: []
Docketed No: []
Action Req'd: [] Date Due: []

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Translation of the application into English. Note a processing fee will be required if submitted later than 30 months from the priority date.
- Processing fee of \$130 for providing the translation of the application and/or the Annexes later than 30 months from the priority date (37 CFR 1.492(i)).
- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.

SUMMARY OF FEES DUE:

Total additional fees required for this application is \$130 for a Large Entity:

- \$130 for English translation surcharge required.

ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE

PTO-1380 (Rev. 12-2004)

Approved for use through 03/31/2007. OMB 0861-0021

U. S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371		ATTORNEY'S DOCKET NUMBER NY-AFILM-204-US
		U.S. APPLICATION NO. (if known, see 37 CFR 1.5) 10/591,156
INTERNATIONAL APPLICATION NO. PCT/DE2004/000392	INTERNATIONAL FILING DATE March 1, 2004	PRIORITY DATE CLAIMED
TITLE OF INVENTION SUBSTRATE COMPRISING FABRY-PEROT FILTER AND METHOD FOR APPLICATION OF THE FILTER TO THE SUBSTRATE		
APPLICANT(S) FOR DO/EO/US Hoffmann, et al.		

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

- ☐ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
- ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
- ☐ This is an express request to begin national examination procedures (35 U.S.C. 371 (f)). The submission must include items (5), (6), (9) and (21) indicated below.
- ☐ The US has been elected (Article 31).
- ☐ A copy of the International Application as filed (35 U.S.C. 371 (c)(2))
 - ☐ is attached hereto (required only if not communicated by the International Bureau).
 - ☐ has been communicated by the International Bureau.
 - ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
- ☒ An English language translation of the International Application as filed (35 U.S.C. 371 (c)(2)).
 - ☒ is attached hereto.
 - ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
- ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - ☐ are attached hereto (required only if not communicated by the International Bureau).
 - ☐ have been communicated by the International Bureau.
 - ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - ☐ have not been made and will not be made.
- ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
- ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
- ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

Items 11 to 20 below concern document(s) or information included:

- ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
- ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
- ☒ A preliminary amendment.
- ☐ An Application Data Sheet under 37 CFR 1.76.
- ☐ A substitute specification.
- ☐ A power of attorney and/or change of address letter.
- ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
- ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
- ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
- ☒ Other items or information: Power of Attorney to prosecute Application Before the USPTO
Statement Under 37 CFR 3.73(b)-Formal Drawings

PTO-1390 (Rev. 12-2004)

Approved for use through 03/31/2007. OMB 0851-0021

U. S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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U.S. APPLICATION NO. (if known, see 37 CFR 1.5) 10/591,156		INTERNATIONAL APPLICATION NO. PCT/DE2004/000392		ATTORNEY'S DOCKET NUMBER AFILM-204-US	
21. The following fees are submitted:				Applicant Use	Office Use Only
<input checked="" type="checkbox"/>	a) Basic national fee	\$300.00	\$	300.00	
<input checked="" type="checkbox"/>	b) Examination fee	\$200.00	\$	200.00	
<input checked="" type="checkbox"/>	c) Search fee	\$500.00	\$	500.00	
TOTAL OF ABOVE CALCULATIONS =			\$	1,000.00	
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.					
Total Sheets	Extra sheets	Number of each additional 50 or fraction thereof (round up to a whole number)	RATE		
- 100 =	0				
Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).				\$	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims			\$		
Independent claims	=		x		
MULTIPLE DEPENDENT CLAIM(s) (if applicable)			+		
TOTAL OF ABOVE CALCULATIONS =				\$	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by %.				\$	
SUBTOTAL =				\$	
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).				+	\$
TOTAL NATIONAL FEE =				\$	
Fee for recording the enclosed assignment (37 CFR 1.21 (h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				+	\$
TOTAL FEES ENCLOSED =				\$	
Amount to be refunded:					\$
Amount to be charged:					
a. <input type="checkbox"/> A check in the amount of _____ to cover the above fees is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>50-0624</u> . A duplicate copy of this sheet is enclosed. d. <input type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.					
NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the international Application to pending status.					
SEND ALL CORRESPONDENCE TO:					
James R. Crawford FULBRIGHT & JAWORSKI L.L.P. 666 Fifth Avenue New York, New York 10103 (212) 318-3359 CUSTOMER NUMBER: 024972					
SIGNATURE: <u>James R. Crawford</u>					
NAME _____					
REGISTRATION NUMBER <u>39,155</u>					